

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: NOVARTIS FORSCHUNGSSTIFTUNG, ZWEIFELNDE ERKLÄRUNG  
FRIEDRICH MIESCHER INSTITUT FÜR BIOMEDIZINALE FORSCHUNG

Application No./Patent No.: 10/517,904 Filed/Issue Date: December 10, 2004

Entitled: Purified PKB Ser 473 kinase and uses thereof

NOVARTIS FORSCHUNGSSTIFTUNG, ZWEIFELNDE ERKLÄRUNG  
FRIEDRICH MIESCHER INSTITUT FÜR BIOMEDIZINALE FORSCHUNG, a

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or  
2. ☐ an assignee of less than the entire right, title and interest  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %)

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy therefore is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

(NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08)

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Signature

Nicolas Favre

Printed or Typed Name

Head Patents and Licensing

Title

Date

41-61-6978382

Telephone Number

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

US (PCT) Case 1-32526A/FMI

ASSIGNMENT

I / We Jianhua FENG, Colmarerstrasse 67, 4055 Basel, Switzerland, citizen of China  
and  
Brian Arthur HEMMINGS, Baiergasse 39A, 4126 Bettingen, Switzerland, citizen  
of Great Britain and  
Michelle Mei Chih HILL, 29A Fairfield Road, Fairfield, QLD 4103, Australia,  
citizen of Australia,

for good and valuable consideration, the receipt and adequacy of which is hereby  
acknowledged, do hereby sell and assign to **Novartis Forschungsstiftung,  
Zweigniederlassung Friedrich Miescher Institute for Biomedical Research, an  
organization registered according to the laws of Switzerland, of Maulbeerstrasse 66,  
4058 Basel, Switzerland**, its successors, assigns and legal representatives all my/our right,  
title and interest, in and for the United States of America, in and to the invention entitled:

**Purified PKB Ser 473 kinase and uses thereof**

invented by me/us and described in the international application

No. PCT/EP 03/06193 filed June 12, 2003

and all United States Letters Patent which may be granted therefor, and all divisions,  
reissues, continuations and extensions thereof, the said interest being the entire ownership  
of the said Letters Patent when granted, to be held and enjoyed by the said **Novartis  
Forschungsstiftung, Zweigniederlassung Friedrich Miescher Institute for Biomedical  
Research**, its successors, assigns or other legal representatives, to the full end of the term  
for which said Letters Patent may be granted, as fully and entirely as the same would have  
been held and enjoyed by me/us if this assignment and sale had not been made;

And I/we hereby authorize and request the Commissioner of Patents and Trademarks to  
issue said Letters Patent to the said **Novartis Forschungsstiftung, Zweigniederlassung  
Friedrich Miescher Institute for Biomedical Research**.

Signed on

Jianhua Feng

Jianhua FENG

Nov. 04, 2004

Brian Arthur HEMMINGS

Brian Arthur HEMMINGS

Nov. 04, 2004

Michelle Mei Chih HILL

Michelle Mei Chih HILL

Nov. 09, 2004